

OPPENHEIMER

OPPENHEIMER WOLFF &amp; DONNELLY LLP

Plaza VII, Suite 3300  
 45 South Seventh Street  
 Minneapolis, MN 55402-1609  
 612.607.7000  
 Fax 612.607.7100

RECEIVED  
 CENTRAL FAX CENTER  
 SEP 19 2006

## FAX COVER LETTER

September 19, 2006

**TO:** Commissioner for Patents  
**COMPANY:** U.S. Patent and Trademark Office – Art Unit 3693  
**PHONE:**  
**FAX:** 571.273.8300

**FROM:** Rudolph P. Hofmann  
**DIRECT DIAL:** (612) 607-7340  
**EMAIL:** RHofmann@oppenheimer.com  
**RE:** U.S. Patent Application No. 09/927,560  
 Attorney Docket No.: 60021-375502

## CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that a Supplemental Information Disclosure Statement is being facsimile transmitted on the date shown below to the Commissioner for Patents.



Janet Byrne



Date

This facsimile contains confidential information intended only for the use of the addressee(s) named above and may contain information that is legally privileged. If you are not the addressee, or the person responsible for delivering it to the addressee, you are hereby notified that reading, disseminating, distributing or copying this facsimile is strictly prohibited. If you have received this facsimile by mistake, please immediately notify us by telephone and return the original message to us at the address above via the Postal Service (we will reimburse postage). Thank you.

Originals: Not being sent

Completed by: Janet Byrne/7401

You should receive 5 page(s) including this page.  
 If the transmission is incomplete, please call 612.607.7276 as soon as possible.

SEP 19 2006

## PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sloan, Ronald

Serial No: 09/927560

Filed: 08/10/2001

Title: Financial modeling and counseling  
system

Docket No: 60021-375502/US

Group Art Unit: 3693

Examiner: Greimel, Jocelyn

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Certificate of Mailing/Transmittal**  
 I hereby certify that this correspondence is being facsimile transmitted to the USPTO (Fax. No. 571.273.8300) or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Janet Byrne

Date

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

This Information Disclosure Statement is being submitted:

- 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first office action on the merits, or before the mailing of a first office action after filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of

SEP 19 2006

allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:

(a) A statement that either:

(i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

(ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

(b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

(a) A statement that either:

(i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

(ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

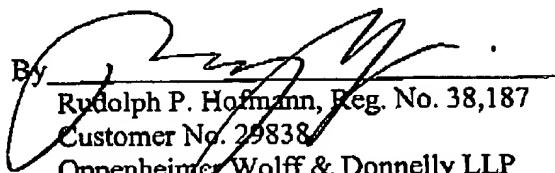
(b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

SEP 19 2006

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375502.

Respectfully submitted,

By   
Rudolph P. Hofmann, Reg. No. 38,187  
Customer No. 29838  
Oppenheimer Wolff & Donnelly LLP  
45 So. Seventh St., Ste. 3300  
Minneapolis, Minnesota 55402  
(612) 607-7340

PTO/SB/08a (07-06)

Approved for use through 09/30/2006. OMB 0651-0031

Approved for use through 09/30/2008. GMD 8557-003.  
**U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

SUBSTITUTE FOR FORM 1449A/PTO		ATTY. DOCKET NO. 060021-375502/US	SERIAL NO. 09/927560
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(Use several sheets if necessary)</small>		APPLICANT Sloan, Ronald	
		FILING DATE 08/10/2001	GROUP 3693

**U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear

## NON-PATENT LITERATURE DOCUMENTS

Examiner Initials	Cte No.	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.